



Office of the  
Secretary of Defense

# Records Management

Administrative  
Procedures and  
Records Disposition  
Schedules

**August 1994**

**Director of Administration and Management  
Office of the Secretary of Defense**



# OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, DC 20301

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## Administration & Management

ADMINISTRATIVE INSTRUCTION NO.\_ 15

SUBJECT : Administrative Procedures and Records Disposition  
Schedules

- References: (a) Administrative Instruction No. 15, "**OSD**  
Records Management Program, " April 28, 1981  
(hereby canceled)
- (b) **DoD**, Directive 5110.4, "Washington  
Headquarters Semites, " May 6, 1991
- (c) DoD Directive 5015.2, "Records Management  
Program, " March 22, 1991
- (d) Chapters 29, 31, and 33 of title 44,  
United States Code
- (e) through ( ee) , see enclosure 2

### A. PURPOSE

This Instruction reissues reference (a) to update procedures for the maintenance and disposition of Office of the Secretary of Defense records and implements reference (b) , which assigns responsibility to the Director, Washington Headquarters Services, for the records management program under references (c) , (d) , and (e) .

### B. APPLICABILITY

This Instruction applies to the Office of the Secretary of **Defense (OSD)** and activities for which the Washington Headquarters Services (WHS ) provides administrative support (hereafter referred to collectively as "the OSD Components") .

### C. DEFINITIONS

Terms used in this Instruction are defined in enclosure 3.

### D. POLICY

It is OSD **policy** to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating **al l** others, and to ensure their management in compliance with **Chapter 31** of 44 U.S. C (reference (d) , 36 CFR (reference (e) , and 41 CFR (reference (f)) .

E. RESPONSIBILITIES

a. The Director, Washington Headquarters Services, under DoD Directive 5110.4 (reference (b) ) , shall:

(1) Direct and administer the records management program for OSD Components.

(2) Provide guidance to OSD Components for the creation, organization, maintenance, use , and disposition of all their records.

(3) Cooperate with the National Archives and Records Administration (**NARA**) in developing and applying standards, procedures, and techniques designed to improve the management of records; ensure the **maintenance and** security of records of continuing" value; and facilitate the identification, segregation, and disposal of all records of temporary value.

(4) Ensure compliance with 41 CFR (reference (f)) .

(5) Coordinate with the Deputy Assistant Secretary of Defense (Information Systems) , Office of **the** Assistant Secretary of Defense (Command, Control, Communications, and Intelligence, on records management matters pertaining to automated data processing (**ADP**) and records.

(6) Designate the Records Management Division, Correspondence and Directives (C&D) Directorate, WHS, as the office of record and the point of contact for records management activities.

b. The OSD Records Administrator (Chief, Records Management Division) , Correspondence and Directives, Washington Headquarters Services, shall, as prescribed by DoD Directive 5015.2 (reference (c) ) :

(1) Establish a comprehensive OSD records management program to support the requirements of the above references.

(2) Ensure effective control over the organization, maintenance, use, designation, and disposition of all OSD Components' records.

(3) Develop and apply standards, procedures, and techniques for improving records management; ensuring the maintenance and timely retirement of records of continuing value; and facilitating the segregation and disposal of all records of temporary value.

(4) Coordinate the efforts of OSD Components in implementation of this Instruction.

(5) Act as the liaison official with the NARA, other government agencies, private industry, and private citizens on records management matters.

(6) Institute a records management evaluation program pursuant to 36 **CFR** and 41 **CFR** (references (e) and (f)) to ensure compliance of OSD Components and to provide for improvements and changes to existing procedures and records schedules to reflect current mission and organizational requirements. Ensure that appropriate OSD personnel receive adequate records management training, either through the auspices of other agencies, e.g., National Archives & Records Administration, General Services Administration, or in-house programs.

(7) Ensure that all policies and important decisions on records management are adequately documented and recorded.

(8) Ensure that the micrographics program is managed in an economical and efficient manner in accordance with AI No. 85 (reference (g)).

(9) Manage the declassification screening program of permanently valuable classified information over 20 years old, in accordance with DoD 5200.1-R, DoD Directive 5200.30, and AI No. 49 (references (h) through (j)).

(10) Monitor the acquisition of records management equipment, such as file cabinets or micrographics systems.

(11) Provide OSD Components with advice and management assistance at the time of creation of new records systems, to ensure adequate documentation, retention, and disposal.

(12) Provide advice and assistance to OSD Components on the identification, segregation, retention, and disposition of personal papers in accordance with 36 CFR and 41 CFR (references (e) and (f)).

(13) Coordinate, control, and supervise access to OSD records essential for historical research, ensuring that appropriate safeguards for information security and personal privacy, as outlined by DoD Directive 5200.30 (reference (i)), and DoD Directive 5400.11, (reference (k)), are maintained.

(14) Exercise management control over the transfer of records to and retrieval from the Federal Records Centers.

c. The Heads of the OSD Components shall:

(1) Establish within their offices a records management program to support the requirements outlined in the above references and with the regulations issued thereunder.

(2) Provide the continued analysis and improvement in records management programs necessary to ensure that records are maintained economically and efficiently.

(3) Ensure that the equipment selected for purchase is the most efficient and economical for the specific operations **planned**.

(4) Institute measures to ensure that records of continuing value are **preserved** and that appropriate disposition or retirement is made of records no longer of current use.

(5) Appoint individuals to perform the records management functions in their offices and to act in liaison with the OSD Records Administrator. (Preferably these should be the same individuals who are responsible for Privacy Act matters (reference k)).

(6) Forward requests for filing and micrographic equipment through the OSD Records Administrator to the Director for Real Estate and Facilities, WHS.

(7) Appoint contacts for declassification screening, in accordance with AI No. 49 (reference (j)).

(8) Ensure that the policies and provisions of DoD Directive 7750.5 (reference (1)) are followed in the creation of OSD records.

(9) Ensure that essential documents and records needed for continuity of operations are identified and preserved in compliance with DoD Directive 3020.26 (reference (m)).

(10) Ensure that NATO documents are handled in accordance with AI No. 27 (reference (n)).


(11) Caution all employees not to transfer or destroy records in their custody except as allowed under 44 **U.S.C.** (reference (d)) and this Instruction, and ensure they are made aware of their legal responsibility to report to the appropriate officials any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

F. PROCEDURES

OSD Component records disposition schedules will be found in enclosure 4. Enclosures 5 through 12 address in detail specific functions of the OSD Records Management Program.

G. EFFECTIVE DATE

**This** Instruction **is** effective- immediately.



D. O. Cooke  
Director of Administration  
and Management

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